

LC serials cataloging

1) PCC Series Interpretations, Policies, and Practices

The BIBCO core record standard seems clear that making added entries for series statements is not required:

4XX (Series statement)

35) Transcribe all series as found on an item in either a 490 or a 440 field. All traced series must be supported by a national level authority record. Untraced series need not be supported by a national level authority record. If a national level series authority record already exists for the series, follow the first tracing practice indicated on the record and record the series and tracing appropriately (i.e., in a 490 field, a 440 field or a 490/8XX pairing)

CONSER record requirements don't state as clearly whether or not series added entries are required, but statements such as "Headings for names and series used in CONSER records are given in AACR2 form, ..." (CEG B1.2, B6.2.2 and several other places that make similar references to series headings) have had the following interpretations:

Interpretation #1: Series tracing is required. It is CONSER policy generally to trace series, and it is "not" an option in an authenticated CONSER record to not trace a series that is already established with a policy of "trace." Even in a minimal level record, if a series is already established it must be traced in the form given in the SAR.

Interpretation #2: when a heading (series added entry) is given, give it in AACR2 form, and support with series authority record. 490 0# is not a heading or added entry, it's a series statement; the "lc" and "lcd" authentication codes for serials applies to headings. There have always been some series untraced by LC and others (the "trace all" policy per LCRI 21.30L began in 1989); those CONSER records by LC and others have always been coded "lc" or "lcd" if name headings in records were supported by authority records. Not all CONSER members originally contributed series authority records. If they didn't contribute a series authority record, serial analytic records were coded as "lcd" either because they gave the series statements as 490 0# fields or because they requested LC to complete the authority work for them.

Recommended Action Item: The PCC Steering Committee has given a "green light" for a joint CONSER/BIBCO task force to work on reconciling differences in the treatment of series between the two programs and to make recommendations on simplifying series practice and documentation. The access level record for serials group should be considered in the process either as the basis for the joint CONSER/BIBCO task force or at least have liaison to the task force.

2) LC Series Change Implementation

a) For monographs and for integrating resources:

LC has decided not to code records it creates as 042=pcc and OCLC has a plan in place to assure that existing controlled series access on existing monograph and integrating resource records is not overlaid.

b) Serials not in series:

The coding of LC's bibliographic records for serials **not** in series remains unchanged. Most of the serial records LC authenticates each year fall into this category, not less than **94.5%** and probably more (this figure is based on the number of all CONSER records with series statements, not just from LC).

c) Serials within series:

In newly created bibliographic records for LC original cataloging:

The series statement will be given in a 490 0# field. The number of records in this category is small, **5.5%** of all records from all institutions in the CONSER file have series statements, LC serials cataloging contributes only a portion to this figure, probably not more than half.

Existing CONSER and non-CONSER records:

LC will "pass through" series access points when found on records used for copy cataloging. Existing series treatment on CONSER records, whether created by LC or a CONSER member will not be changed. An LC serial record with a 490 will not overlay a non-LC CONSER record with a 440 or 830. LC will not change 440s/830s in CONSER records to 490s.

What are the consequences of LC or other PCC libraries that follow LC's decision continuing to authenticate serials within series?

- *Inconsistent use of the authentication code in this small number of records, the records will require more scrutiny before accepting for local copy
- *Series treatment established in series authority records is not followed
- *Series will not be traced in some CONSER records.
- *Other PCC members will have to create/maintain series authority records when using them as copy.

What are the consequences of not authenticating this category of record with a series statement?

- *LC serial records are created on OCLC, there would be LC workflow issues to handle this category differently from other serials. There would need to be a way

to get new records that have a series statement to subscribers who want them and records for US ISSN assignments to the ISSN Network.

*Probably small impact on MDS-Serials file subscribers, since this is a small number of records

*Other CONSER members will have to do series authority work and authenticate these records when using them as copy.

3) Stats and definition of CONSER file

CDS STATS on the entire MDS-Serials file, as of the last end of fiscal year (Oct. 2005):

Total records: 1,064,324

Series statements:

440 24,566

490 0 3,256

490 1 30,946

total statements: 58,768

Based on this, about 5.5% of serials, from all CONSER libraries have series statements as of Oct. 2005.

MDS-Serials file a.k.a the "CONSER file"

LC is the single largest contributor of serial bibliographic records to the CONSER file, last year about of 38% of records contributed were from LC. These records benefit subscribers of the CONSER file including companies that use CONSER data to maintain knowledge bases of various products. The combination of a valid 042 and an LCCN on a CONSER record is the "trigger" that distributes a record to CDS as part of the CONSER file. This file is also distributed to the ISSN Network so that US ISSN records can be incorporated into the ISSN database. LC authenticated records make up a subset of the CONSER file, new LC serial records and LC records with maintenance transactions are siphoned off from this flow to LC's ILS.